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Sheet 1 of 1

FORM PTO-1449 (SUBSTITUTE)

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE STATEMENT BY APPLICANT
(37 CFR 1.98(b))

OIPE JC#9 JUL 16 2002 PATENT & TRADEMARK OFFICE

Attorney Docket No.:	Applic. No.
P2000,0167 CIP	09/927,573

Applicant: Herbert Palm et al.

Filing Date	Group Art Unit
August 9, 2001	2811

U.S. PATENT DOCUMENTS

EXAMINER INITIALS		PATENT NO.	DATE	PATENTEE	CLASS	SUB CLASS	FILING DATE
	A						
	B						
	C						
	D						
	E						
	F						
	G						
	H						
	I						

FOREIGN PATENT DOCUMENT

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB CLASS	TRANSL. YES	TRANSL. NO
JD	J	84 113 408	07/11/97	Taiwan			X	
	K							
	L							
	M							
	N							

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

	O	
	P	

EXAMINER: [signature]

DATE CONSIDERED: 4/9/03

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

OIPE
APR 26 2002
PATENT & TRADEMARK OFFICE

#5

FORM PTO-1449 (SUBSTITUTE)
U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT
(37 CFR 1.98(b))

Attorney Docket No.:	Applic. No.
P2000,0167 CIP	09/927,573

Applicant: Herbert Palm et al.

Filing Date	Group Art Unit
August 9, 2001	2811

RECEIVED
APR 30 2002
TECHNOLOGY CENTER 2800

U.S. PATENT DOCUMENTS

EXAMINER INITIALS		PATENT NO.	DATE	PATENTEE	CLASS	SUB CLASS	FILING DATE
JD	A	3,731,163	05/01/73	Shuskus			
JD	B	5,966,603	10/12/99	Eitan			
JD	C	5,973,358	10/26/99	Kishi			
	D						
	E						
	F						
	G						
	H						
	I						

FOREIGN PATENT DOCUMENT

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB CLASS	TRANSL. YES	TRANSL. NO
JD	J	29 46 864 A1	06/04/80	Germany				X
JD	K	0 967 654 A1	12/29/99	Europe			X	
JD	L	04 012 573	01/17/92	Japan			X	
	M							
	N							

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

	O	
	P	

EXAMINER: [signature] DATE CONSIDERED: 4/5/03

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JC672 U.S. PTO
09/927573
08/09/01

#7

FORM PTO-1449 (SUBSTITUTE) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT (37 CFR 1.98(b))	Attorney Docket No.: P2000,0167 C CIP of Applic. No. 09/900,654 Applicant Herbert Palm et al. Filing Date of CIP August 9, 2001 Group Art Unit

EXAMINER INITIALS		PATENT NO.	DATE	PATENTEE	CLASS	SUB CLASS	FILING DATE
TD	A	5,768,192	06/98	Eitan			
TD	B	6,011,725	01/00	Eitan			
TD	C	6,191,459	02/01	Hofmann et al.			
	D						
	E						
	F						
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FOREIGN PATENT DOCUMENT

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB CLASS	TRANSL. YES	TRANSL. NO
TD	J	195 45 903 A1	06/97	Germany			x	
TD	K	196 00 423 A1	07/97	Germany			x	
TD	L	196 00 422 C1	08/97	Germany			x	
	M	196 03 810 C1	08/97	Germany			x	
	N							

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

TD	O	International Publication No. WO 99/60631 (Eitan et al.), dated November 25, 1999.
TD	P	"A Sub-0.1-μm Grooved Gate MOSFET with High Immunity to Short-Channel Effects" (Tanaka et al.), IEDM 93, Chapter 21.1.1, pp. 537-40.

EXAMINER	DATE CONSIDERED
	4/8/03

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FORM PTO-1449 (SUBSTITUTE) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT (37 CFR 1.98(b))	Attorney Docket No.: P2000,0167 C CIP of Applic. No. 09/900,654 Applicant Herbert Palm et al. Filing Date of CIP August 9, 2001 Group Art Unit

EXAMINER INITIALS		PATENT NO.	DATE	PATENTEE	CLASS	SUB CLASS	FILING DATE
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FOREIGN PATENT DOCUMENT

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB CLASS	TRANSL. YES	TRANSL. NO
	J							
	K							
	L							
	M							
	N							

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

TM	9	"A Flash EEPROM Cell with Self-Aligned Trench Transistor & Isolation Structure" (Nakagawa et al.), 2000 Symposium on VLSI Technology Digest of Technical Papers.

EXAMINER [signature] DATE CONSIDERED 4/8/03

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